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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
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10/723,925

11/26/2003

Keith S. Macbeath

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CHARLES G. CALL

215 W. HURON ST APT 2

CHICAGO, IL 60610-3331

EXAMINER

MERCHANT, SHAHID R

ART UNIT

PAPER NUMBER

3694

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DELIVERY MODE

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PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary

Application No.

10/723,925

Applicant(s)

MACBEATH ET AL.

Examiner

Shahid R. Merchant

Art Unit

3694

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 26 November 2003.
- 2a) ☐ This action is FINAL. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-20 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-20 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 26 November 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- ☒ Notice of References Cited (PTO-892)
- ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- ☐ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____
- ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____
- ☐ Notice of Informal Patent Application
- ☐ Other: _____

DETAILED ACTION

Priority

1. Examiner has given consideration to applicant's Provisional Application No. 60/429,589 filed on November 27, 2002. For examining purposes of this application, the effective filing date will be November 27, 2002.

Claim Objections

2. Claim 2 objected to because of the following informalities: the phrase "into which of from..." is worded awkwardly. Appropriate correction is required.

Claim Rejections - 35 USC § 112

3. The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.
4. Claims 1, 5, 6 and 9 rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.
5. Claim 1 recites the limitation "said bank" in lines 5 and 10. There is insufficient antecedent basis for this limitation in the claim.
6. Claim 1 recites the limitation "the underlying commercial transaction" in lines 6 and 11-12. There is insufficient antecedent basis for this limitation in the claim.
7. Claims 5 and 9 recites the limitation "the underlying commercial transaction" in 3. There is insufficient antecedent basis for this limitation in the claim.

8. Claim 6 recites the limitation "the shipping counterparties, shipping contracts, shipping invoices, and shipping dates." in lines 4-5. There is insufficient antecedent basis for this limitation in the claim.

Claim Rejections - 35 USC § 102

9. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

10. Claims 1-20 rejected under 35 U.S.C. 102(b) as being anticipated by Barnes et al., U.S. Patent No. 5,970,475 (see PTO-892, Ref. A).

11. As per claim 1, Barnes teaches a method of managing supply chain transactions between a business organization and its customers and suppliers comprising, in combination, the steps of:

establishing a standard data model which defines the content of data representing said transactions, said data model specifying the content of data describing individual financial payment transactions performed by said bank on behalf of said business organization and additional data specifying the nature of the underlying commercial transaction between said business organization and its customer or supplier which gives rise to each of said financial payment transactions (see column 8, lines 4-12, column 11, lines 9-24 and column 20, lines 57-67),

establishing a database system for storing data that conforms to said standard data model (see column 7, lines 48-59, column 10, lines 40-47 and Figure 2),

transmitting data to said database describing each given one of said financial payment transactions to be performed by said bank (see column 8, lines 4-12),

transmitting said additional data to said database specifying the nature of the underlying commercial transaction between said business organization and its customer or supplier which created the need for said given one of said financial payment transactions (see column 8, lines 4-12), and

in response to a request from said business organization, performing a selected one of a plurality of available data processing operations on the data in said database system (see column 8, lines 48-67 and Figure 5).

12. As per claim 2, Barnes teaches the method of claim 1 as described above.

Barnes further teaches wherein said data describing individual financial payment transactions includes an identification of a bank account of said business organization into which of from which a payment is to be made, the amount of the payment made, and the time said payment is made (see column 10, lines 4-32, column 17, lines 49-60 and column 20, lines 57-67).

13. As per claim 3, Barnes teaches the method of claim 2 as described above.

Barnes further teaches wherein said additional data specifying the nature of the underlying commercial transaction includes an identification of the customer or supplier with which the business organization deals and an identification of one or more

documents relating to the commercial transaction (see column 20, lines 57-67 and column 21, lines 1-35).

14. As per claim 4, Barnes teaches the method of claim 3 as described above.

Barnes further teaches wherein said documents include one or more members of the group comprising purchase orders, sales contracts, and invoices (see column 21, lines 1-35).

15. As per claim 5, Barnes teaches the method of claim 2 as described above.

Barnes further teaches wherein said additional data specifying the nature of the underlying commercial transaction includes an information describing the manner in which goods or services are to be delivered (see column 21, lines 1-35).

16. As per claim 6, Barnes teaches the method of claim 5 as described above.

Barnes further teaches wherein said information describing the manner in which goods or services are to be delivered includes information describing to one or more members of a group consisting of the shipping counterparties, shipping contracts, shipping invoices, and shipping dates (see column 21, lines 1-35).

17. As per claim 7, Barnes teaches the method of claim 1 as described above.

Barnes further teaches wherein said step of transmitting data to said database describing each given one of said financial payment transactions is performed by a cash workflow procedure in which said business organization instructs its bank to make a payment (see column 17, lines 49-60).

18. As per claim 8, Barnes teaches the method of claim 7 as described above.

Barnes further teaches wherein said cash workflow procedure in which said business

organization instructs its bank to make a payment includes the transmission by said business organization to its bank of data which conforms to said data model and includes an identification of a bank account of said business organization into which or from which a payment is to be made, the amount of the payment made, and the time said payment is made (see column 17, lines 49-60).

19. As per claim 9, Barnes teaches the method of claim 8 as described above. Barnes further teaches wherein said additional data specifying the nature of the underlying commercial transaction includes an identification of the customer or supplier with which the business organization deals and an identification of one or more documents relating to the commercial transaction (see column 20, lines 57-67 and column 21, lines 1-35).

20. As per claim 10, Barnes teaches the method of claim 7 as described above. Barnes further teaches wherein said available data processing operations on the data in said database system include accounts receivable and collections management functions (see column 10, lines 4-32).

21. As per claim 11, Barnes teaches the method of claim 10 as described above. Barnes further teaches wherein said available data processing operations on the data in said database system further include customer credit assessment functions (see column 21, lines 53-58).

22. As per claim 12, Barnes teaches the method of claim 11 as described above. Barnes further teaches wherein said available data processing operations on the data in

said database system further include accounts payable management functions (see column 10, lines 4-32).

23. As per claim 13, Barnes teaches the method of claim 10 as described above. Barnes further teaches wherein said available data processing operations on the data in said database system further include accounts payable workflow functions in which said business organization instructs its bank to make payments to suppliers (see column 17, lines 49-60).

24. As per claim 14, Barnes teaches the method of claim 7 as described above. Barnes further teaches wherein said step of transmitting data to said database describing each given one of said financial payment transactions is further performed by an accounts payable workflow procedure in which said business organization instructs its bank to make payments to suppliers (see column 17, lines 49-60).

25. As per claim 15, Barnes teaches a method of providing data processing services from a bank to a client business organization engaged in commercial supply chain business transactions comprising, in combination, the steps of:

establishing a standard data model which defines the content of data representing said transactions, said data model specifying the content of data describing individual financial payment transactions performed by said bank on behalf of said client business organization and additional data specifying the nature of the underlying commercial transaction between said business organization and its customers or suppliers which gives rise to said financial payment transactions (see column 8, lines 4-12, column 11, lines 9-24 and column 20, lines 57-67),

establishing a database system for storing data that conforms to said standard data model (see column 7, lines 48-59, column 10, lines 40-47 and Figure 2),

employing said database to accept instruction data from said business organization to perform a given one of said financial payment transactions (see column 8, lines 4-12),

employing said database to accept said additional data specifying the nature of the underlying commercial transaction between said business organization and its customer or supplier associated with said financial payment transactions (see column 8, lines 4-12), and

in response to a request from said business organization, performing a selected one of a plurality of available data processing operations on the data in said database system (see column 8, lines 48-67 and Figure 5).

26. As per claim 16, Barnes teaches the method of claim 15 as described above. Barnes further teaches wherein said instruction data includes an identification of a bank account of said business organization into which or from which a payment is to be made, the amount of the payment made, and the time said payment is made (see column 10, lines 4-32, column 17, lines 49-60 and column 20, lines 57-67).

27. As per claim 17, Barnes teaches the method of claim 16 as described above. Barnes further teaches wherein said additional data specifying includes an identification of the customer or supplier with which the business organization deals and an identification of one or more documents relating to the commercial transaction (see column 20, lines 57-67 and column 21, lines 1-35).

Art Unit: 3694

28. As per claim 18, Barnes teaches the method of claim 15 as described above.

Barnes further teaches wherein said available data processing operations on the data in said database system include accounts receivable and collections management functions (see column 10, lines 4-32).

29. As per claim 19, Barnes teaches the method of claim 18 as described above.

Barnes further teaches wherein said available data processing operations on the data in said database system further include customer credit assessment functions (see column 21, lines 53-58).

30. As per claim 20, Barnes teaches the method of claim 15 as described above.

Barnes further teaches wherein said step of accepting payment instruction data is performed by an accounts payable workflow procedure in which said business organization instructs its bank to make payments to suppliers (see column 17, lines 49-60).

Conclusion

The Examiner has cited particular columns and line numbers in the references as applied to the claims for the convenience of the applicant. Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual claim, other passages and figures may apply as well. It is respectfully requested from the applicant, in preparing the responses, to fully consider the references in entirety as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the examiner.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Shahid R. Merchant whose telephone number is 571-270-1360. The examiner can normally be reached on First Friday Off.


If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James P. Trammel can be reached on 571-272-6712. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic

Art Unit: 3694

Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

SRM



ELLA COLBERT
PRIMARY EXAMINER